

ELECTRONIC DOCUMENT SUBMITTAL PROCESS

**Public Meeting Handout
March 18, 2014**



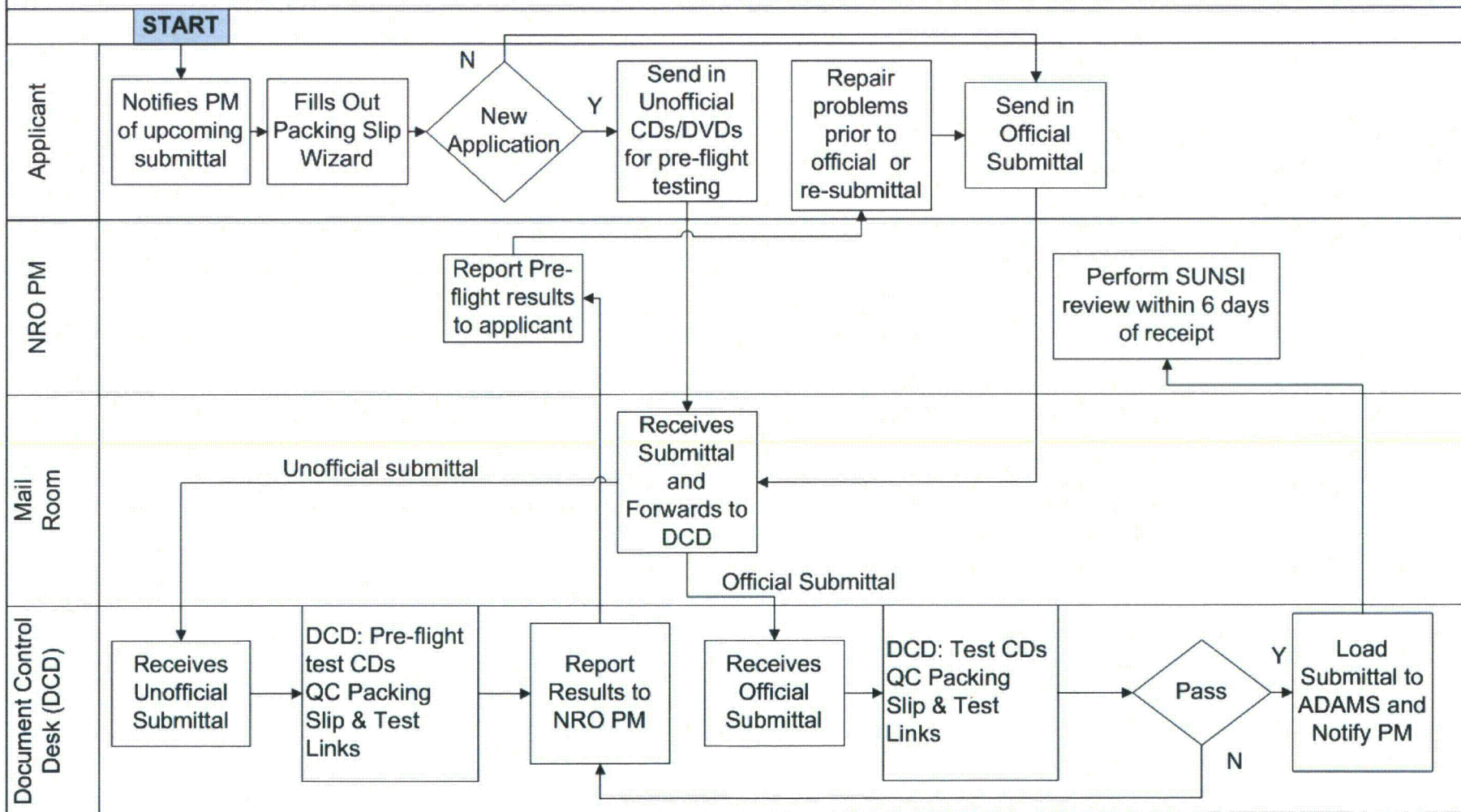
Application Electronic Submittal Requirements



- Guidance and tools were developed to ensure electronic files that comprise an application can be read into ADAMS and support hyper-links and other features in ADAMS Explorer
- [Electronic Submittal Guidance Document](#) is available on the NRC Public Website (Latest version is 6.1)
- Electronic Submittal Guidance Document defines individual file requirements
 - Resolution (300dpi minimum)
 - Fast web view (for download & viewing)
 - No hidden text (Searchable Text)
 - Fonts embedded (Ensure authentication)
- Electronic Submittal Guidelines were established by NRC to meet NARA requirements and staff/public needs (when accessing documents in ADAMS)

Process Overview

Electronic Document Intake Process for COL, DC, DCA, ESP Submittals



Applicant Responsibilities U.S.NRC

United States Nuclear Regulatory Commission

Protecting People and the Environment

- Inform NRC PM of your upcoming submittal
- Coordinate Application Submission structure based on Packing Slip Wizard guidelines
- Follow Electronic Submittal Guidance for applications:
 - PDF file attributes
 - Submittal Packing Slip
- Perform pre-flight tests to identify and fix common problems
- Identify submittal plans, issues, pre-submittal packing slip, reference documents
- Have total ownership of submittal
 - Limit NRC interactions with Applicant's contractors

NRO PM Responsibilities



- **Coordinate with Applicant**
 - Ensure NRC Electronic Submittal Guidance is being followed
 - Communicate results of initial reviews to Applicant
 - Coordinate issue resolution between Applicant and OIS
 - Version control
 - Coordinate/ensure correct “Submission #” is used in the Packing Slip
 - Ensure “only one copy” of the submittal is sent to the document control desk (DCD). The best way to accomplish this is for the Applicant to send the initial submittal through the mail room to the DCD.
 - Coordinate the receipt of corrected replacement disks from the Applicant when necessary (i.e., initial submission fails)
- **Coordinate with OIS for receipt, initial reviews, and entry of the Application files (documents) into ADAMS**
- **Complete SUNSI review and request for public release, once the Application has been entered into ADAMS**

NRC OIS Responsibilities



- Receive “draft/test”, un-official and official Application submittals
- Perform Initial Media reviews
 - Pre-flight test CDs/DVDs
 - QC review of submission’s packing slip
- Report issues (when encountered) to NRO PM
 - Provide detailed information needed for correcting submittal
 - Discuss initial review results with Applicant, if needed, via conference call coordinated by PM
 - When submittal fails retain submittal cover letter for safekeeping until corrected replacement disks arrive
- Load submittal documents into ADAMS and inform NRO PM when upload is successfully completed
- Support NRO PM with questions and/or resolution of potential issues

Application Submittal Packing Slip



- The Application submittal structure on the CDs/DVDs is defined by the “Packing Slip”
- The Packing Slip is prepared by the Applicant using the “Packing Slip Wizard” provided by the NRC (obtain latest version from NRO PM)
- Packing Slip Contents:
 - Submission Documents Defined
 - Reference Documents Defined
 - Filename
 - Title
 - Sensitivity
 - Modified

Packing Slip Defines:

- **Application Parts (Documents)**

A *Document* is used as the reference to define submittal control. For COLAs, a *Document* is a PART (e.g., FSAR, Environmental Report, etc.). Each PART (to be considered a *Document*) may be made up of various chapters, sections, or other logical constructs, each of which will be composed of individual PDF files.

- **Version Control (Multiple Submissions of an Application)**

For electronic submission revision control, when any piece of a *Document* is revised, all PDF files associated with the *Document* are considered a new Electronic Submission Revision (ESR) and need to be resubmitted (i.e., if a chapter of the FSAR is revised, the whole FSAR is now a new ESR and will need to be resubmitted with some type of revision descriptor for the reviewers). In other words, an individual FSAR Chapter can not be revised and submitted by itself.

- **Revision #s and Submission #s**

- Revision #s represent the specific or unique version of a submission Document (or an individual component of it)
- Submission #s represent the “physical” submittal of an Application, at a specific point in time. The submission will generally have various Revision numbers for the *Documents* it contains.

Treatment of Sensitive Information

- **Two Possible Approaches**
 1. Sensitive Information is submitted in a “Withheld” folder and the remaining files are Public. One submittal is provided to the NRC.
 - Uses hyperlinks from Public to Non-Public folders
 2. Sensitive Information is redacted from specific/applicable files and two submittals are provided to the NRC, one Public (redacted) and one Non-Public
- **Preferred Approach is Applicant defined**
 - Option 1 requires one set of submittal CDs/DVDs, and it may require greater monitoring of the Sensitive/Non-Sensitive contents
 - Option 2 requires two sets of CDs/DVDs and it may take longer to prepare and process, but it may provide easier means for monitoring of the Sensitive/Non-Sensitive contents

Application Submission Structure Example

Licensing Electronic Submissions		
+	AmerenUE Callaway Unit 2	
+	AREVA	
+	Current Submission	
+	Submission01	
+	Cover Letter and ER	
+	USEPR FSAR Rev 00-S	
+	Submission02	
+	Submission03	
+	Submission04	
+	Submission05	
+	Submission06	
+	Submission07	
+	Submission08	
+	Submission09	
+	Submission10	
+	Submission11	
+	Submission12	
+	Submission13	
+	Submission14	
+	Detroit Edison Fermi 3	
+	Dominion	
+	Duke Energy	
+	Entergy Nuclear	
+	Entergy Nuclear - River Bend 3	
+	Exelon-Victoria County ESP	
+	Exelon-Victoria County Units 1-2	
+	Florida Power and Light Company	
+	GE-Hitachi	
+	GE-Hitachi ABWR	
+	Korea Hydro Nuclear Power	
+	Luminant - Comanche Peak 3 and 4	
+	Mitsubishi	
+	NINJA - STP Units 3 and 4	
+	NuStart Energy	
+	PPL - Bell Bend	
+	Progress Energy	
+	Progress Energy-Harris Units 2-3	
+	Progress Energy-Levy Units 1-2	
+	PSEG POWER	
+	SCEG	
+	SHINE Medical Technologies	
+	South Texas	
+	South Texas - ABWR AIA	
+	Southern Nuclear	
+	System Energy Resources	
+	Tennessee Valley Authority	
+	Toshiba Corporation	
+	Unistar	
+	Unistar - Nine Mile Point 3	
+	Westinghouse	

Licensing Electronic Submissions		
+	AmerenUE Callaway Unit 2	
+	AREVA	
+	Current Submission	
+	Submission01	
+	Cover Letter and ER	
+	USEPR FSAR Rev 00-S	
+	Tier 1	
+	Chapter 1	
+	Chapter 2	
+	Chapter 3	
+	Chapter 4	
+	Chapter 5	
+	Tier 2	
+	Chapter 01	
+	Chapter 02	
+	Chapter 03	
+	Chapter 04	
+	Chapter 05	
+	Chapter 06	
+	Chapter 07	
+	Chapter 08	
+	Chapter 09	
+	Chapter 10	
+	Chapter 11	
+	Chapter 12	
+	Chapter 13	
+	Chapter 14	
+	Chapter 15	
+	Chapter 16	
+	Chapter 17	
+	Chapter 18	
+	Chapter 19	
+	Submission02	
+	Submission03	

Name	
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Figures for Section 1.2
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Figures for Section 1.7
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - List of Figures
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - List of Tables
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.1 Introduction
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.2 General Plant Description
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.3 Comparisons with Similar Faci
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.4 Identification of Agents and Co
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.5 Requirements for Further Tech
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.6 Material Referenced
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.7 Drawings and Other Detailed Ir
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.8 Interfaces with Standard Design
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Section 1.9 Conformance with Regulatory C
+	AREVA Design Control Document Rev. 0 - Tier 2 (Plant - Table of Contents

Done

Electronic Submission Revision Example

In the adjacent figure, PART 02 was submitted for the first time with the Electronic Submission Revision (ESR) of 0 in Submission #1. All chapters reflect the ESR in which they were added. In Submission #2 the entire PART 02 is resubmitted, because two new chapters were added (Chapters 16 and 19) and one chapter was changed (Chapter 07). In the illustration, chapters reflect in which ESR they were added or changed. PART 02 is not changed in Submission #3, therefore the ESR has not changed and PART 02 has become a *Reference Document* in this Submission.

When a *Document* is submitted for the first time or resubmitted due to a change in it, it is called a *Submission Document* and the ESR for the *Document* will be incremented.

Any *Document* (as defined above) that has already been submitted and has not changed from the previous *Submission*, will become a *Reference Document* and will retain its ESR.

NOTE: *Submission Documents* and *Reference Documents* are identified as such in the submission's *Packing Slip*.

	Submission 1	Submission 2	Submission 3	Submission 4
	PART 00, Rev. 0	PART 00, Rev. 1	PART 00, Rev. 2	PART 00, Rev. 3
	PART 01, Rev. 0	PART 01, Rev. 0	PART 01, Rev. 0	PART 01, Rev. 0
	PART 02, Rev. 0	PART 02, Rev. 1	PART 02, Rev. 1	PART 02, Rev. 2
	Chapter 01 Rev. 0	Chapter 01 Rev. 0	Chapter 01 Rev. 0	Chapter 01 Rev. 0
	Chapter 02 Rev. 0	Chapter 02 Rev. 0	Chapter 02 Rev. 0	Chapter 02 Rev. 0
	Chapter 03 Rev. 0	Chapter 03 Rev. 0	Chapter 03 Rev. 0	Chapter 03 Rev. 0
	Chapter 04 Rev. 0	Chapter 04 Rev. 0	Chapter 04 Rev. 0	Chapter 04 Rev. 0
	Chapter 05 Rev. 0	Chapter 05 Rev. 0	Chapter 05 Rev. 0	Chapter 05 Rev. 0
	Chapter 06 Rev. 0	Chapter 06 Rev. 0	Chapter 06 Rev. 0	Chapter 06 Rev. 0
	Chapter 07 Rev. 0	Chapter 07 Rev. 1	Chapter 07 Rev. 1	Chapter 07 Rev. 1
	Chapter 08 Rev. 0	Chapter 08 Rev. 0	Chapter 08 Rev. 0	Chapter 08 Rev. 0
	Chapter 09 Rev. 0	Chapter 09 Rev. 0	Chapter 09 Rev. 0	Chapter 09 Rev. 0
	Chapter 10 Rev. 0	Chapter 10 Rev. 0	Chapter 10 Rev. 0	Chapter 10 Rev. 0
	Chapter 11 Rev. 0	Chapter 11 Rev. 0	Chapter 11 Rev. 0	Chapter 11 Rev. 2
	Chapter 12 Rev. 0	Chapter 12 Rev. 0	Chapter 12 Rev. 0	Chapter 12 Rev. 0
	Chapter 13 Rev. 0	Chapter 13 Rev. 0	Chapter 13 Rev. 0	Chapter 13 Rev. 0
	Chapter 14 Rev. 0	Chapter 14 Rev. 0	Chapter 14 Rev. 0	Chapter 14 Rev. 0
	Chapter 15 Rev. 0	Chapter 15 Rev. 0	Chapter 15 Rev. 0	Chapter 15 Rev. 0
	Chapter 16 Rev. 1	Chapter 16 Rev. 1	Chapter 16 Rev. 1	Chapter 16 Rev. 1
	Chapter 17 Rev. 0	Chapter 17 Rev. 0	Chapter 17 Rev. 0	Chapter 17 Rev. 0
	Chapter 18 Rev. 0	Chapter 18 Rev. 0	Chapter 18 Rev. 0	Chapter 18 Rev. 0
	Chapter 19 Rev. 1	Chapter 19 Rev. 1	Chapter 19 Rev. 1	Chapter 19 Rev. 1
	PART 03, Rev. 0	PART 03, Rev. 1	PART 03, Rev. 1	PART 03, Rev. 1
	PART 04, Rev. 0	PART 04, Rev. 0	PART 04, Rev. 0	PART 04, Rev. 0
	PART 05, Rev. 0	PART 05, Rev. 0	PART 05, Rev. 0	PART 05, Rev. 0
	PART 06, Rev. 0	PART 06, Rev. 0	PART 06, Rev. 1	PART 06, Rev. 1
	PART 07, Rev. 0	PART 07, Rev. 0	PART 07, Rev. 0	PART 07, Rev. 0
	PART 08, Rev. 0	PART 08, Rev. 0	PART 08, Rev. 1	PART 08, Rev. 1
	PART 09, Rev. 0	PART 09, Rev. 0	PART 09, Rev. 0	PART 09, Rev. 0
	PART 10, Rev. 0	PART 10, Rev. 0	PART 10, Rev. 0	PART 10, Rev. 0
	PART 11, Rev. 0	PART 11, Rev. 0	PART 11, Rev. 0	PART 11, Rev. 0
	PART 12, Rev. 0	PART 12, Rev. 0	PART 12, Rev. 0	PART 12, Rev. 0
	PART 13, Rev. 0	PART 13, Rev. 0	PART 13, Rev. 1	PART 13, Rev. 2
	PART 14, Rev. 0	PART 14, Rev. 0	PART 14, Rev. 0	PART 14, Rev. 1
	PART 15, Rev. 0	PART 15, Rev. 0	PART 15, Rev. 0	PART 15, Rev. 0
	Newly Added			
	Changed			
	Reference Document			
	Submission Document			